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TC-2700

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Express Mail No.: EM 061 023 875 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: ALTOMARE *et al.*

Serial No.: 09/397,704

Group Art Unit: 2761

Filed: September 16, 1999

Examiner: Not assigned

For: SYSTEM AND METHOD FOR  
ADMINISTERING PRINCIPAL  
PROTECTED EQUITY LINKED  
FINANCIAL INSTRUMENTS

Attorney Docket No.: 6925-1

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REQUEST FOR CORRECTED FILING RECEIPT

Assistant Commissioner for Patents  
Washington, D.C. 20231

**ATTN:** Application Processing Division  
Customer Correction Branch

Sir:

Applicant respectfully requests that the Patent Office issue a corrected Filing Receipt for the above-identified application. The last two words of the title of the application were omitted by the Patent Office. Please add the words --FINANCIAL INSTRUMENTS-- to the title of the application.

Attached is a photocopy of the incorrect Filing Receipt with the correction indicated in red ink. Also attached is a copy of the Patent Application Fee Value cover sheet and the Declaration and Power of Attorney, as filed in the Patent Office on September 16, 1999, both bearing the correct title of the invention.

No fee is believed to be due for this Request. Should any fees be required, however, please charge such fees to Pennie & Edmonds LLP Deposit Account No. 16-1150.

Respectfully submitted,

*Agujan V. Shentou, R.N. 38,051*  
*for Barry D. Rein* 22,411

Date January 21, 2000

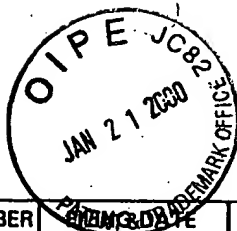
Barry D. Rein

(Reg. No.)

PENNIE & EDMONDS LLP  
1155 Avenue of the Americas  
New York, New York 10036-2711  
(212) 790-9090

Enclosure

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
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Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/397,704	09/16/99 ✓	2761 ✓	\$1,354.00	6925-196	36	40	6

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1155 AVENUE OF THE AMERICAS  
NEW YORK NY 10036-2711

*Shental*  
*246*

*Disclosure - 12/16/99*  
*For callup - 5/16/00*  
*sys - 9/16/90*

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) GERALD CRAIG ALTOMARE, SADDLE RIVER, NJ; STEPHEN DAVID REDDY, WASHINGTON CROSSING, PA; DONALD DONG-WHAN SUNG, NEW YORK, NY; ROBERT OLIVER YOUNG, COS COB, CT.

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 10/07/99

TITLE

SYSTEM AND METHOD FOR ADMINISTERING PRINCIPAL PROTECTED EQUIPMENT LINKED

PRELIMINARY CLASS: 705

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*all inventor*

FINANCIAL INSTRUMENTS

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DATA ENTRY BY: BALL, ROSALIND

TEAM: 01 DATE: 10/07/99

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(See reverse for new important information)

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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The applicant has been granted a license under 35 U.S.C. 184, if the phrase "FOREIGN FILING LICENSE GRANTED" followed by a date appears on the reverse side of this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.11. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related application(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations, especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR Parts 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

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No license under 35 U.S.C. 184 has been granted at this time, if the phrase "FOREIGN FILING LICENSE GRANTED" DOES NOT appear on the reverse side of this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE ---- The Following Information about the Filing Receipt:**

The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.

The words "new," "improved," "improvement," "improvements in or relating to" are not included as the first words in the title of an application because a patent application is, by nature, a new idea or improvement.

The title may be truncated if it consists of more than 4 lines of 70 characters each (letters and spaces combined).

The inventor information may be truncated if the family name consists of more than 25 characters (letters and spaces combined) and if the given name consists of more than 25 characters (letters and spaces combined). The inventor's residence allows for up to 40 characters (letters and spaces combined).

The docket number allows a maximum of 12 characters.

If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

Customer Address may have been modified to conform to U.S. Postal rules.

Please direct correction, including a copy of your Filing Receipt, to:

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Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

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**PENNIE & EDMONDS LLP**

COUNSELLORS AT LAW  
1155 Avenue of the Americas  
New York, N.Y. 10036-2711  
(212) 790-9090

ATTORNEY DOCKET NO. 6925-196

Assistant Commissioner for Patents  
Box PATENT APPLICATION  
Washington, D.C. 20231

Date: September 16, 1999

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**COPY**

Sir:

The following utility patent application is enclosed for filing:

Applicant(s): **Gerald Craig Altomare, Stephen David Reddy,  
Donald Dong-Whan Sung, and Robert Oliver  
Young**

Executed on: **Unexecuted at time of filing**

Title of Invention: **SYSTEM AND METHOD FOR ADMINISTERING PRINCIPAL PROTECTED EQUITY  
LINKED FINANCIAL INSTRUMENTS**

**PATENT APPLICATION FEE VALUE**

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	40	-20	20	\$18.00 each	\$ 360.00
Independent	6	-3	3	\$78.00 each	\$ 234.00
Minimum Fee					\$ 760.00
Multiple Dependency Fee If Applicable (\$260.00)					\$ 0.00
Total					\$ 1,354.00
50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern (a verified statement as to the applicant's status is attached)					\$ 0.00
Total Filing Fee					\$ 1,354.00

- ☐ Priority of application no. filed on in is claimed under 35 U.S.C. § 119.  
☐ The certified copy of the priority application has been filed in application no. filed  
☐ Amend the specification by inserting before the first line the following sentence: This is a continuation-in-part of application no. filed .

Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.

Respectfully submitted,  
*Oguzhan V. Shenker, R.N. 38,051*  
 for *Barry D. Rein* 22,411  
 Barry D. Rein (Reg. No.)  
 PENNIE & EDMONDS LLP

Enclosure